



Important Notice
National Securities Clearing Corporation

A#:	7486
P&S #:	7056
Date:	9/14/2012
To:	ALL PARTICIPANTS
Attention:	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
From:	ADREAN HINOJOSA, ACCOUNT ADMINISTRATION
Subject:	CHANGES IN THE LIST OF PARTICIPANTS

- The following firms will retire from all services, as detailed below:

Last Trade Date, September 18, 2012:

Forside Funds Distributors LLC

No. 0440

Last Trade Date, September 28, 2012:

Northern Lights Distributors, LLC/Triex Fund

No. 3757

- The following firm will no longer participate in the Insurance Processing service, as detailed below:

Last Trade Date, September 28, 2012:

Hartford Life and Annuity Insurance Company

No. 4669

- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, September 21, 2012:

Teachers Advisors, Inc.

No. 5668

- The following firm will begin participation in the Networking service, as detailed below:

First Trade Date, September 24, 2012:

H. Beck, Inc.

No. 0731

Networking Symbol:

N8

Contact: Trinity Grall

Phone: (301) 468-0100

- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, September 14, 2012:

Campbell & Company, Inc.

No. 1796

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First Trade Date, September 18, 2012:

Virtus Real Estate, LLC No. 1799

First Trade Date, September 19, 2012:

The Bank of New York Mellon No. 1797

The Bank of New York Mellon No. 1798

- Please update the NSCC Directory dated September 2012 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, September 7, 2012</u> MITAA Global Securities	PFCL	0158	CHKG	
<u>Delete Last Trade Date, September 12, 2012</u> Rushmore Capital Inc.	PFCL	0158	RMCI	
<u>Delete Last Trade Date, September 14, 2012</u> Vandham Securities Corp.	MLCO	0161	VNDX	
<u>Delete Last Trade Date, September 18, 2012</u> Trident Partners LTD.	FCCP	0141	TRIP	
<u>Add First Trade Date, September 21, 2012</u> Trident Partners LTD		0235	TRIP	

- Please update the NSCC Directory dated September 2012 (for OTC Executed-By List) as detailed below:

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker Change Effective First Trade Date, September 11, 2012</u> From: Legend Securities, Inc. To: Legend Securities, Inc.	QNTX	0294	LDSI	
	PFCL	0158	LDSI	
<u>Delete Last Trade Date, September 14, 2012</u> Penson Financial Services, Inc.	PFCL	0158	PFBI	

Add First Trade Date, September 13, 2012

Dealerweb Inc.

MLCO 0161 DLWB

Revere Securities Corp.

ECUT 0100 REVR

(*Date is being revised from First Trade Date 9/14 to 9/13)

Add First Trade Date, September 17, 2012

NSX Securities LLC

MSCO 0050 NSXM

If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.